6.1 General Concepts

6.1.1 What is Program Implementation?

Program implementation is spending the money to implement the program.

Implementing the budget means implementing the program, getting the planned work assigned and completed in a timely and economical way that yields quality results. This is done by implementing the Program's portion of the EERE Annual Operating Plan for the execution fiscal year (see Chapter 4 on Planning). The AOP is developed by determining the work that needs to be done, the appropriate sources and the estimated scope, schedule, milestones and cost. This is accomplished through continuous communication with the Field, culminating with the submission of Field Work Proposals (FWP).

6.1.2 Identifying the Work to be Performed

Advanced planning is essential, e.g., operations plans, spend plans and acquisition plans.

The AOP is a single-year "slice" of the work to be performed and the money to be spent in the execution year. The work is characterized by project description, milestones status, and relevant strategic objective, which is stored in the EERE Corporate Planning System and Data Center. The Spend Plan indicates how much appropriated funding will be placed with each performing activity, including labs, procurement, and financial assistance awardees. It shows a costing or accrual rate consistent with the actions necessary to accomplish the work.

6.1.3 Field Input

The principal execution baseline document is the FWP which:

- Is developed by National Laboratories in response to HQ program guidance,

- Captures entire projects or programs — not just one fiscal year,

- Represents work and budget proposed by a National Laboratory, and

- Includes work scope, budget, period of performance, and milestones.

Instructions for FWPs are contained in DOE Order 412.1 (http://www.directives.doe.gov/pdfs/doe/doetext/neword/412/o4121.pdf)

In addition to the approved FWPs for the labs, the program manager needs to include in the AOP all other work to be performed through procurement and financial assistance. EERE will publish a consolidated AOP each January.

6.1.4 How Does the Planned Work Get Assigned and Funded?

To assign and fund the work, the program manager must take the following actions:

Implement the AOP

- Have funding vehicles in place

- Obligate the funding

- Authorize the work and allocate the funding. Ensure that the documents, or required inputs to them, that authorize the work and allocate the funding are prepared and processed. These documents include the Approved Funding Program (AFP), Program Guidance Letters and Procurement Requests (PR) and Work Authorizations (WA) (the timelines for initiating and processing these instruments are shown in on Figure 6.1.1 on page 6-6); and

- Assign the work and obligate the funding. Ensure that related instruments that assign the work and obligate the Government to pay for it are prepared and activated. These include contracts, grants, Cooperative Research and Development Agreements (CRADAs), and Field Work Assignments (FWA). Because of the processing lead times required for these instruments, the PRs should be initiated up to 10 months prior to the beginning of the execution year and WAs up to three months. The planning for these instruments should be included in the acquisition plan.

6.1.5 Acquisition Planning

The program manager needs to consider the lead times for setting all of this in place. Therefore, program execution planning and preparation must be started well in advance of the

beginning of the execution fiscal year. A key activity and product in addition to the Annual Operating Plan is the Acquisition Plan, which identifies the planned procurements and how and when they will be prepared and processed. See Appendix C for further discussion.

6.1.6 Procurement and Financial Assistance

Goods and services are acquired from industry, academia and non-profit organizations through the procurement process.

When obtaining work through the procurement and financial assistance process, the program manager must have an understanding of the regulations governing procurements and grants and comply with them to ensure they have been conducted openly and fairly, in support of public policy and in a manner in which the Government (on behalf of the taxpayer) gets a good deal. Details of these requirements and considerations are in Appendix C.

6.1.7 Procurement and Financial Assistance Instruments

Typical instruments are contracts (including purchase orders) and grants.

Program managers have three types of mechanisms available to them by which to obtain work directly from private companies and universities — contracts, grants, and cooperative agreements. (The National Laboratories are authorized to use available contracts and CRADAs, but not grants.)

Procurement Instrument

Lead times must be considered in preparing for contracts, grants and CRADAs.

- **Contracts** - the purchase of goods or services. Contracts result in goods or services that meet a well-defined government need and require the highest degree of program manager oversight. Numerous choices among contract types and contracting methods are available to optimize the contractual relationship and enhance the probability of achieving the desired results.

Financial Assistance Instruments

- **Grants** - vehicles that provide funding to a public or private entity for a valid governmental purpose without requiring specific performance prior to and as a condition of payment; require the lowest degree of program manager oversight.

- **Cooperative Agreements** - generally to fund work that intersects both programmatic interests and the business

interest of private companies. It is a partnership where costs of performing the work are shared and a significant degree of program manager oversight is required.

Additional information regarding the procurement process and the program manager's responsibilities are in Appendix C. The instrument for initiating a procurement or financial assistance action is the Procurement Request. The PR:

- funds prime contracts, cooperative agreements, and grants (either discretionary or formula);

- originates at HQ/processed through HQ contract or Operations Office;

- designates funding source Budget and Reporting Code (B&R), dollar value, project, and awardee;

- includes approved Scope of Work (SOW) as detailed backup.

6.1.8 Work Authorization System (WAS)

The DOE Work Authorization System (WAS) is the method for getting work accomplished at the National Laboratories.

Work authorizations are described in DOE Order 0 412.1

Its purpose is to establish a work authorization and control process for work pertaining to designated management and operating (M&O) and management and integrating (M&I), environmental restoration management contracts (ERMC), and other contracts as determined by the Procurement Executive. DOE Order 412.1 specifies the form, content, and use of Work Authorizations and Field Work Proposals. DOE Order 412.1 can be found at (http://www.directives.doe.gov/pdfs/doe/doetext/neword/412/o4121.pdf)

The Work Authorizations (WAs):

- fund National Laboratory M & O contractors;

- originate at HQ, processed through Operations Office;

- designate funds source B&R, dollar value, project, and work scope;

- include approved FWP or other as detailed backup.

Work Authorization form and content are shown in the following outline:

SAMPLE WORK AUTHORIZATION
U.S. DEPARTMENT OF ENERGY
MANAGEMENT & OPERATING (M&O)/MANAGEMENT & INTEGRATING (M&I)
AND OTHER CONTRACT WORK AUTHORIZATION

1 . a. Project Title: b. Work Proposal Number (if applicable)

2. Hq Program Point of Contact: Name   Org. Code   Tel. No.

3. Hq Budget Point of Contact: Name   Org. Code   Tel. No.

4. Responsible Program:

5. Responsible Secretarial Officer:

6. Responsible Field element:

7. a. M&O Contractor: b. Point of Contact: Name Telephone No.

8. Work Authorization No.:*

 9. Revision No.:   *2 digit program identifier, 4 digit sequential number, last digit of fiscal year

10. Funds Authorized: ($ in thousands)   B&R Code   Previous   Change Current

11. Performance Period Covered By Funds From: To:

12. Work Start Date:

13. Expected Completion Date:

14. Statement of Work: (Detailed description of work to be performed or reference to a field work proposal, project plan, or similar document that describes the scope of work, milestones, deliverables, performance measures/expectations.) 15. Reporting Requirements: (Status Reports, scientific and technical information or similar) Name & Signature   Date

16. Work Authorization Official:

 17. DOE Field element Official:

18. M&O Contractor:

SAMPLE FORMAT

6.1.9   The Funding Process

To obligate funds, the obligating office must receive the funding through the Approved Funding Program (AFP), the direction and authorization for its use, through work authorizations or program guidance letters etc.

Funding for the Field meets up with the obligating instruments (WAs, PRs) through the Approved Funding Program (AFP) process, which identifies and aggregates the total Field funding for the year and provides allotments throughout the year. The AFP specifies for each obligating office the amounts approved for obligation for each control level Budget and Reporting (B&R) code. Under each appropriation, the allotment provides the actual total control amount available for obligation. In other words, the AFP tells how much your program has to spend with each Field activity, and the allotments are the incremental deposits into their checking accounts to cover current spending. This process is illustrated in Figure 6.1.1.

The AFP process starts with the program manager submitting PRs and WAs for work to be procured in the field or accomplished by the labs. The Program Manager and OPBFA review and approve these actions. The PBFA Budget Analysts develop
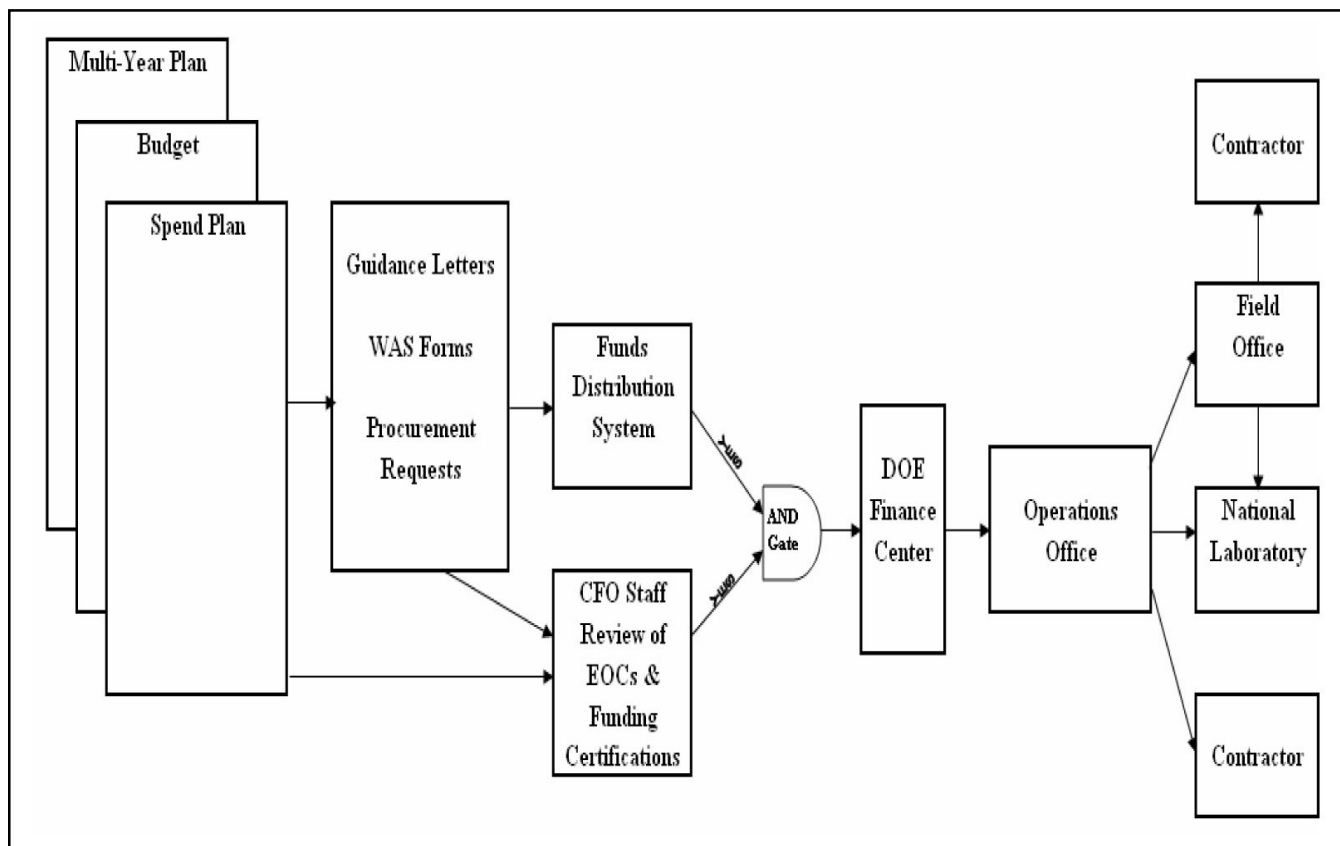

Figure 6.1.1 Funding Process Chart

All funding to the Field is provided through the Approved Funding Program (AFP).

program guidance letters, which define the scope of the work. The EERE Office of Business Administration (BA), referring to the DOE budget base table and advice of allocations received from the DOE CFO, certifies that the funds are available and enters the amounts into the AFP. The DOE CFO issues the AFP and initial and follow-on monthly allotments to the Field. The Operations Offices in the field receive the Program Guidance letter along with the PRs for procurement and financial assistance and the completed WAs for the labs.

6.1.10 Obtaining Work Through HQ

Although the normal and preferred way for work to be obtained is through the Operations Offices in the field, the program manager, when advantageous, can submit a PR to the DOE HQ Contracting Office for processing, leading to an award. In this case, the PR is submitted to the budget analyst who processes it through the financial chain to ensure that the funding is allotted and assigned to the specific procurement action. The process does not include the AFP — the mechanism for providing funding to the Field.

6.1.11 Timely Execution

Funds should not sit idle.

Timeliness and thoroughness of program implementation is a critical program management issue. Businesses recognize that time is valuable and holding money can be costly. In business, operating or investment capital is obtained from shareholders, lenders or cash flows from business operations. If funds are not put to use in a timely manner, several undesired consequences result. First, delays in projects and operations push back the work that needs to be done to meet program goals, objectives, and milestones. Since accomplishment of these objectives is beneficial to the customers, either directly or indirectly (as stepping stones), the customer does not realize the value early on. Secondly, funds sitting idle could be used for some other purpose, or as a minimum, be earning interest. Finally, it sends a message to stakeholders, investors, customers and other interested parties that the program has no sense of urgency or that it is being managed in a haphazard manner. This has negative implications for the continued support of the program. Likewise, after the work has been assigned and the funds obligated, the program manager cannot sit back and consider the job of executing the budget complete. Monitoring and tracking work performance is a key program management responsibility. See

Chapter 7 Analysis and Evaluation for details regarding the importance of performance monitoring and the methods and techniques for carrying it out.

Additional Information

More detailed information on processes and best practices is contained in the Appendices to this guide and in the references listed below. Each of these represent useful sources of "how to" information and should be helpful in getting started.

Specific PM duties are spelled out in the EERE SMS information and instruction sheets.

Appendices

Appendix C EERE Acquisition Customer Guide

- Table of Contents

- Appendix C-1   Chapter 1 Introduction

- Appendix C-2   Chapter 2 General Information

- Appendix C-3   Chapter 3 Basic Advice

- Appendix C-4   Chapter 4 Acquisition and Financial Assistance Requirement Packages

- Appendix C-5   Chapter 5 Acquisition and Financial Assistance Proposal Evaluation Processes

- Appendix C-6   Chapter 6 Monitoring and Administration of Acquisition and Financial Assistance Awards

References:

- FAR

- http://www.mbe.doe.gov/crOrg/me20.htm

6.2 EERE SMS • Program Implementation Stages

Through program implementation, EERE uses appropriated funds to implement the programs, projects, and activities justified in the Congressional Budget Request as modified by final appropriations and Congressional report guidance. The funds permit EERE, its Regional Offices, Field organizations, contractors, and other performers to deliver goods and services in support of the programs. Due to the breadth of program activities and work performers involved, it is critical that the performance commitments made in EERE's planning and budget formulation process are clearly communicated, understood, and agreed to by the Regional Offices, Field organizations, contractors, and other performers.

> Each of the steps shown in the diagram below are described in detail in the EERE Information and Instruction Sheets that follow.
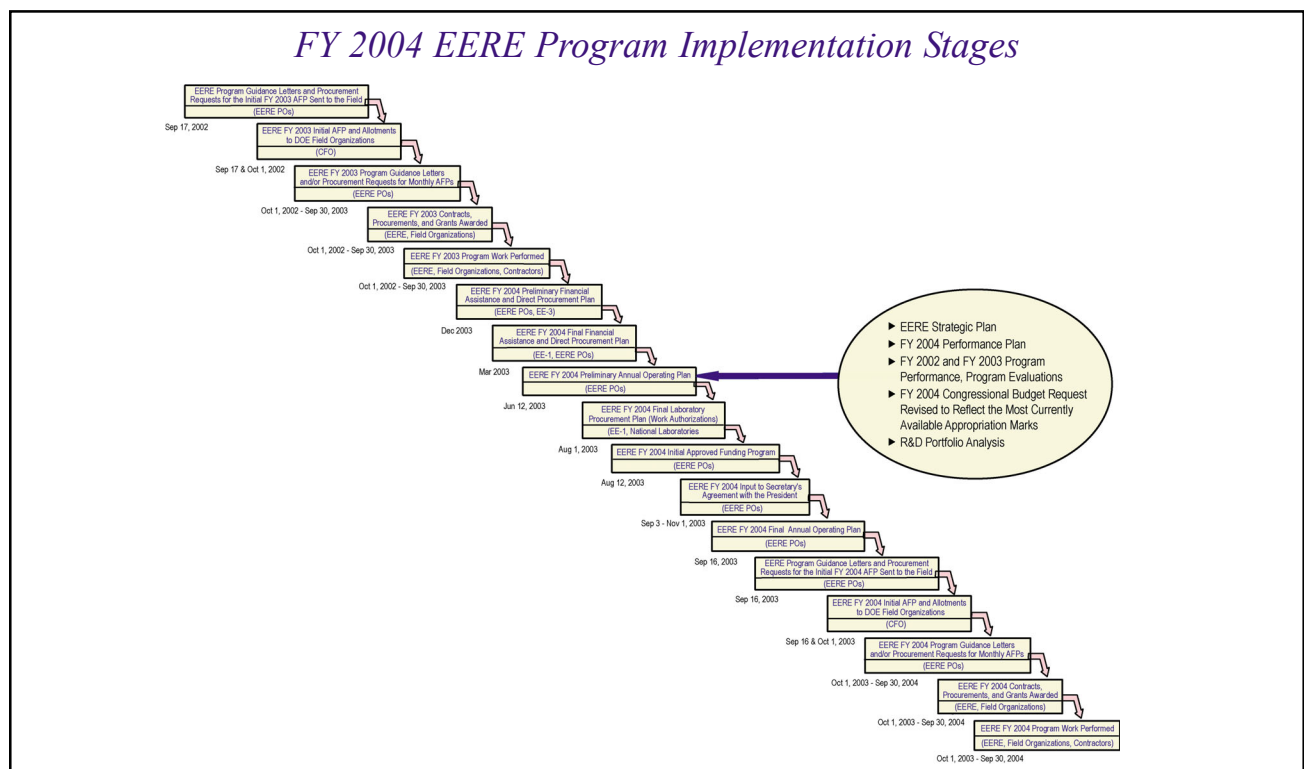
FY 2004 EERE Program Implementation Stages

SMS Information And Instruction Sheet

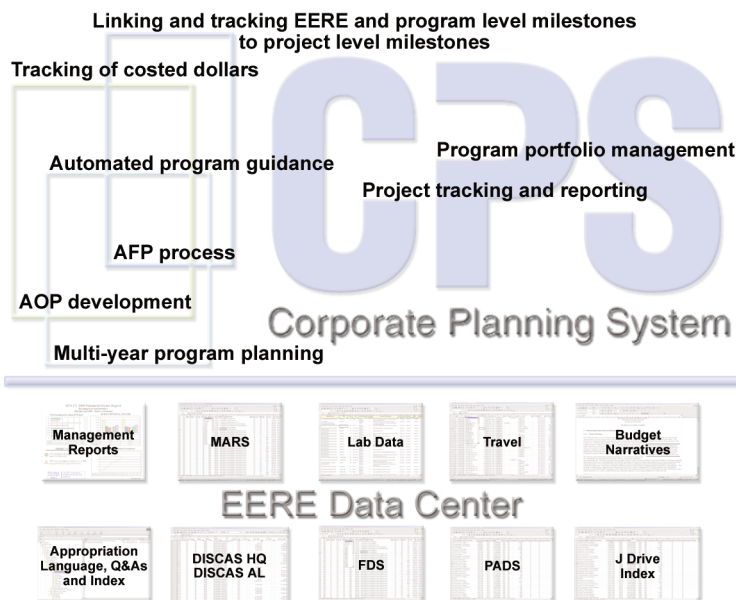| SMS REQUIREMENT |
| --- |
| **PROGRAM GUIDANCE LETTERS AND PROCUREMENT REQUESTS FOR THE INITIAL FY 2004 APPROVED FUNDING PROGRAM SENT TO THE FIELD** |
| Funds included in the Initial AFP must be authorized for the specific programs, projects, and activities for which the funds were appropriated, before the funds can be awarded or obligated. The guidance for the use of the funds is included in program guidance letters and procurement requests, which are prepared by EERE managers at Headquarters and transmitted to the Regional Offices and DOE Field organizations. By September 7, 2003, the Program Offices provide the program guidance letters and procurement requests to BA for funds certification. Subsequently, the program guidance letters are transmitted to the Regional Offices and DOE Field organizations by September 17. A process similar to this is completed each month for the subsequent AFPs. All program guidance letters for FY 2004 should be issued by January 31, 2004. As part of the certification, BA will ensure that all program guidance letters comply with procurement and budget requirements. |
| EERE Program Offices |

PROGRAM MANAGEMENT ACTIONS:

The program management team should complete and forward all program guidance letters and Procurement Requests by September 7, 2003, and each month thereafter to authorize the planned work for which the Approved Funding Program has been pro-grammed to provide the appropriate funding streams.

CPS/DATA CENTER INSTRUCTIONS:

USES: CPS is a useful tool for creating, forwarding, and retaining a record of these documents.

Linking and tracking EERE and program level milestones to project level milestones

Tracking of costed dollars

Automated program guidance

Program portfolio management

Project tracking and reporting

AFP process

AOP development

Multi-year program planning

CPS Corporate Planning System

Management Reports | MARS | Lab Data | Travel | Budget Narratives

EERE Data Center

Appropriation Language, Q&As and Index | DISCAS HQ DISCAS AL | FDS | PADS | J Drive Index

References:

PROGRAM IMPLEMENTATION	PROGRAM GUIDANCE LETTERS AND PROCUREMENT REQUESTS FOR THE INITIAL AFP SENT TO THE FIELD

SMS Information And Instruction Sheet

SMS REQUIREMENT
EERE FY 2004 INITIAL APPROVED FUNDING PROGRAM AND ALLOTMENTS TO DOE FIELD ORGANIZATIONS
The Initial AFP which will be effective on the first day of the fiscal year are issued to the Regional Offices and DOE Field organizations on September 14, 2003. The allotments, which provide the statutory funding controls effective the first day of the fiscal year, are issued on October 1, 2003. The CFO is responsible for coordinating this effort in the Department.
CFO

PROGRAM MANAGEMENT ACTIONS:

The program management team should monitor the AFP and ensure that the appropriate allotments have been issued.

Linking and tracking EERE and program level milestones
to project level milestones

Tracking of costed dollars

Automated program guidance

Program portfolio management

Project tracking and reporting

AFP process

AOP development

CPS

Corporate Planning System

Multi-year program planning

Management Reports	MARS	Lab Data	Travel	Budget Narratives
Appropriation Language, Q&As and Index	DISCAS HQ DISCAS AL	FDS	PADS	J Drive Index
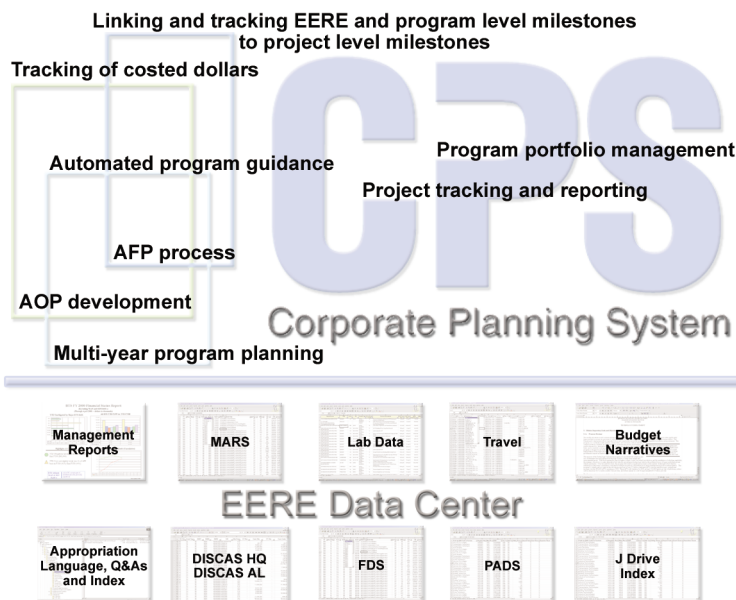
EERE Data Center

CPS/DATA CENTER INSTRUCTIONS:

A paperless AFP process is currently under development in CPS.

References:

PROGRAM IMPLEMENTATION	INITIAL AOP AND ALLOTMENTS TO THE DOE FIELD ORGANIZATIONS

SMS Information And Instruction Sheet

SMS REQUIREMENT
EERE FY 2004 PROGRAM GUIDANCE LETTERS AND/OR PROCUREMENT REQUESTS FOR MONTHLY APPROVED FUNDING PROGRAMS
Beginning in October 2003 and subsequently by the 10th of each month, the Program Offices provide program guidance letters and procurement requests to BA for funds certification and funding transfers to be included in the next monthly AFP. If the 10th falls on a weekend or holiday, the due date is the next work day. Subsequently, the program guidance letters are transmitted to the Regional Offices and DOE Field organizations prior to the issuance of the monthly AFP.
EERE Program Offices

PROGRAM MANAGEMENT ACTIONS:

The program management team should ensure that remaining work for the fiscal year not included in the initial AFP and allotments is assigned and funded on a monthly basis in accordance with the spend plan. This requires the preparation and submission of WAs and PRs reflected in the Acquisition Plan.

Linking and tracking EERE and program level milestones to project level milestones

Tracking of costed dollars

Automated program guidance

Program portfolio management

Project tracking and reporting

AFP process

AOP development

Multi-year program planning

CPS

Corporate Planning System

Management Reports	MARS	Lab Data	Travel	Budget Narratives
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EERE Data Center

CPS/DATA CENTER INSTRUCTIONS:

USES: Refer to the spend plan data in CPS for timing of work assignments and procurements.
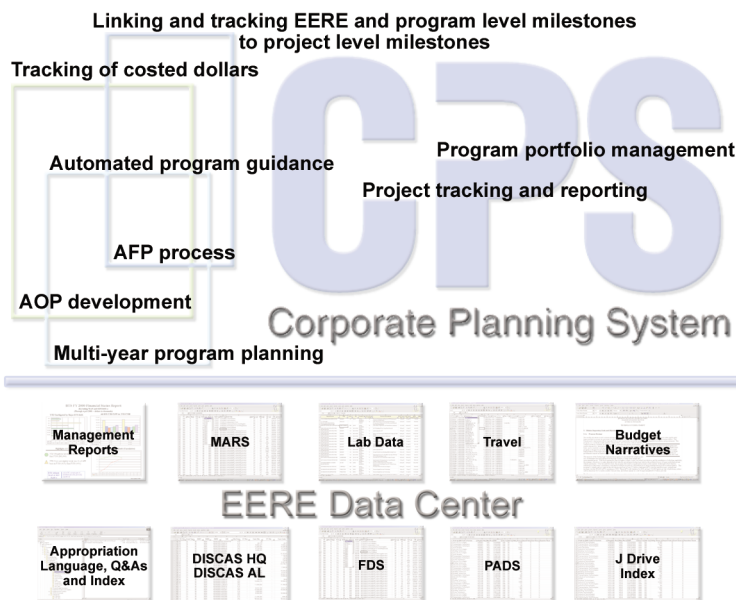
References:

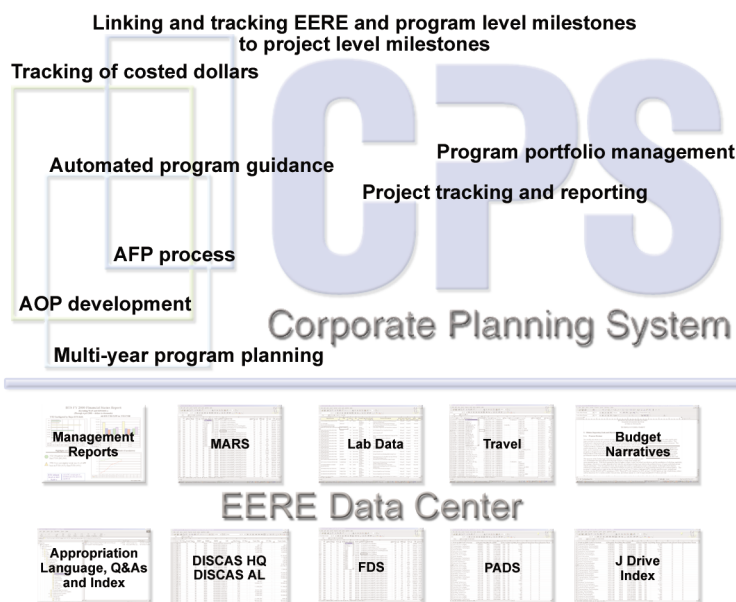| PROGRAM IMPLEMENTATION	PROGRAM GUIDANCE LETTERS AND/OR PROCUREMENT REQUESTS FOR MONTHLY AFPS

SMS Information And Instruction Sheet

SMS REQUIREMENT
EERE FY 2004 CONTRACTS, PROCUREMENTS, AND GRANTS AWARDED
Beginning October 1, 2003, FY 2004 EERE contracts, grants, cooperative agreements, Laboratory Field Work Proposals, and other procurement instruments will be awarded by the cognizant Headquarters and Field organizations to permit the continued implementation of EERE mission objectives. The Office of Procurement and Assistance Management is responsible for making all awards at Headquarters; the cognizant Regional Offices, Operations Offices, and Golden Field Office are the principal organizations which perform this role in the field.
EERE, Field Organizations

PROGRAM MANAGEMENT ACTIONS:

The program management team must ensure that the applicable program guidance letters and procurement requests have been prepared with the appropriate lead times, and monitor to ensure that awards are made as planned beginning on October 1, 2003.

Linking and tracking EERE and program level milestones to project level milestones

Tracking of costed dollars

Automated program guidance

Program portfolio management

Project tracking and reporting

AFP process

AOP development

Multi-year program planning

CPS

Corporate Planning System

Management Reports	MARS	Lab Data	Travel	Budget Narratives

EERE Data Center

Appropriation Language, Q&As and Index	DISCAS HQ DISCAS AL	FDS	PADS	J Drive Index

References: Data Center Tutorial, Appendix E

CPS/DATA CENTER INSTRUCTIONS:

USES: Award information is inputted to PADS by cognizant procurement officials. It is downloaded into the PADS folder in the Data Center where it can be used to track awards and applicable data retrieved and entered into CPS.
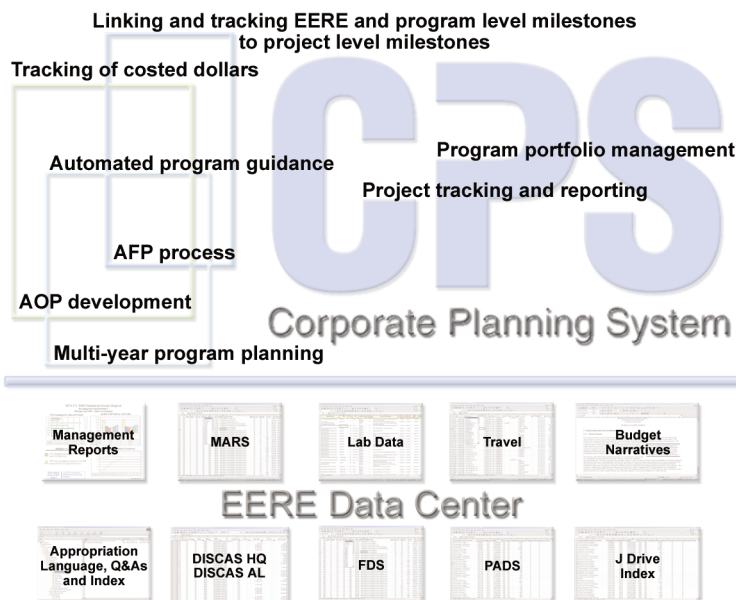
PROGRAM IMPLEMENTATION	CONTRACTS, PROCUREMENTS AND GRANTS AWARDED

SMS Information And Instruction Sheet

SMS REQUIREMENT
EERE FY 2004 PROGRAM WORK PERFORMED
Between October 1, 2003, and September 30, 2004, EERE's FY 2004 program work will be performed by a wide range of organizations such as DOE laboratories; industry; colleges and universities; Federal, State, and local governments; non-profit entities; and consortia. The work is managed by EERE program managers and Regional Office staff to ensure compliance with statements of work for achieving the mission objectives of the program.
EERE, Field Organizations, Contractors

PROGRAM MANAGEMENT ACTIONS:

The program management team needs to continuously monitor work performance through Data Center information, direct contact with awardees, feedback from operations offices and review of required financial and work progress reports as appropriate. Variances In cost accrual or work progress should be identified promptly and corrective action taken.

CPS/DATA CENTER INSTRUCTIONS:

USES: Planned actions and progress toward milestones should be tracked using the CPS projects data.

Linking and tracking EERE and program level milestones to project level milestones
Tracking of costed dollars
Automated program guidance
Program portfolio management
Project tracking and reporting
AFP process
AOP development
Multi-year program planning

CPS Corporate Planning System

EERE Data Center: Management Reports, MARS, Lab Data, Travel, Budget Narratives, Appropriation Language, Q&As and Index, DISCAS HQ DISCAS AL, FDS, PADS, J Drive Index

References: Refer to Program Progress Reviews, Appendix D1, and Management Reviews in the applicable Analysis and Evaluation Information and Instruction Sheet
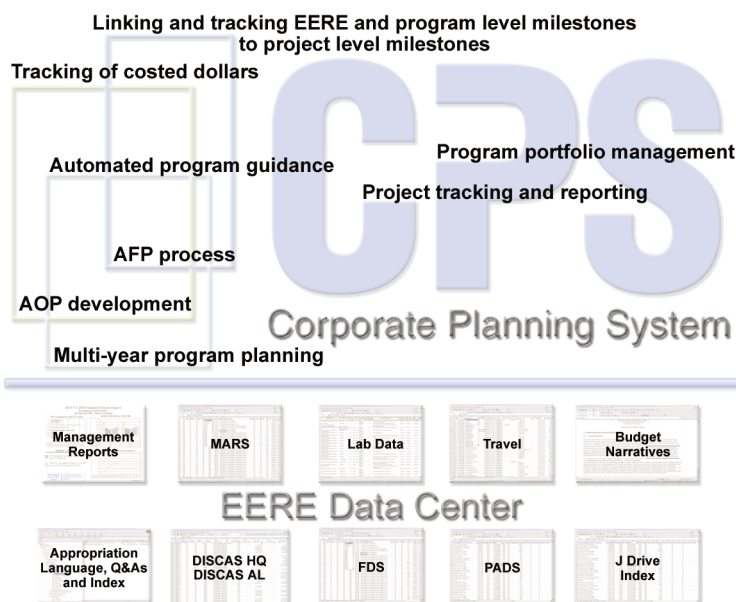
PROGRAM IMPLEMENTATION	PROGRAM WORK PERFORMED

SMS Information And Instruction Sheet

SMS REQUIREMENT
PRELIMINARY FINANCIAL ASSISTANCE AND DIRECT PROCUREMENT PLAN
It is essential for EERE to prepare for the execution of the FY 2005 budget 10 months before the budget is actually appropriated by Congress. For financial assistance vehicles and direct procurements, EERE programs must define the work scope, procurement mechanism (e.g., grant, cooperative agreement, or contract), and estimated dollar amounts by December 2003, so this information can be reviewed by BA's Field Management organization.
EERE Program Office's, EE-3

PROGRAM MANAGEMENT ACTIONS:

The program management team should conduct acquisition planning to define the work scope, procurement mechanism and estimated dollar amounts by December 2003. The first draft of the acquisition plan should be completed by February. The acquisition plan should address small business objectives in coordination with procurement offices. Scopes of work and guidance letters should be completed by the beginning of May 2004 and solicitations by the end of May 2004 for awards in October.

Linking and tracking EERE and program level milestones to project level milestones

Tracking of costed dollars

Automated program guidance

Program portfolio management

Project tracking and reporting

AFP process

AOP development

Multi-year program planning

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EERE Data Center

CPS/DATA CENTER INSTRUCTIONS:

USES: The annual operating plan should be initiated by this time. Begin by retrieving the projects for the upcoming execution year, FY 2002, from the recently updated multi-year plan. Based on the preliminary acquisition plan, create the first draft of the FY 2002 spend plan. Taken together, the initial FY 2002 spend plan and the FY 2002 projects represent the FY 2002 initial Annual Operating Plan (AOP).

INPUT REQUIREMENTS: Enter projects/tasks, anticipated awardees, procurement instruments, estimated dollar amounts and cost accrual profiles into CPS.

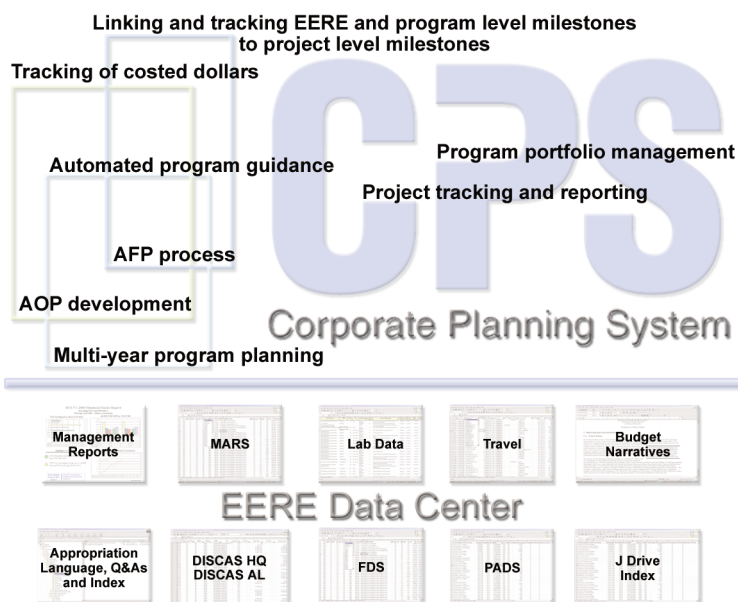References: Relevant detailed processes are in Appendix C.

PROGRAM IMPLEMENTATION	PRELIMINARY FINANCIAL ASSISTANCE AND DIRECT PROCUREMENT PLAN

SMS Information And Instruction Sheet

SMS REQUIREMENT
FINAL FINANCIAL ASSISTANCE AND DIRECT PROCUREMENT PLAN
The preliminary Financial Assistance and Direct Procurement Plan will be supplemented to include the desired procurement office, desired dates of service, and a revised dollar estimate by March 2004 for review and approval by EE-1. Once these plans are approved, the procurements can be released for solicitation. The objective of issuing solicitations in March is to make awards by the Fall for inclusion in the Approved Funding Programs, after the President signs the appropriations bill.
EE-1, EERE Program Offices

PROGRAM MANAGEMENT ACTIONS:

The program management team must complete procurement planning in February 2004 and receive approval by March 1, 2004 so that Procurement Requests for procurements, grants and CRADAs solicitations can be completed and submitted to the Contracting Office by March 1 to ensure awards will be made by October 1, 2004 (FY 2004). Funding for both procurements (contracts, grants and CRADAs) and financial assistance (work performed by Government labs) for FY 2005 must be initiated at least 80 days prior to October 1. Refer to Figure 6.1.1 on page 6-6 of this guide for funding flow and timelines.

References: Relevant detailed processes are in Appendix C.

CPS/DATA CENTER INSTRUCTIONS:

USES: Complete the Acquisition Plan initiated in the previous SMS step.

INPUT REQUIREMENTS: Enter projects/tasks, anticipated awardees, procurement instruments, estimated dollar amounts and cost accrual profiles into CPS.
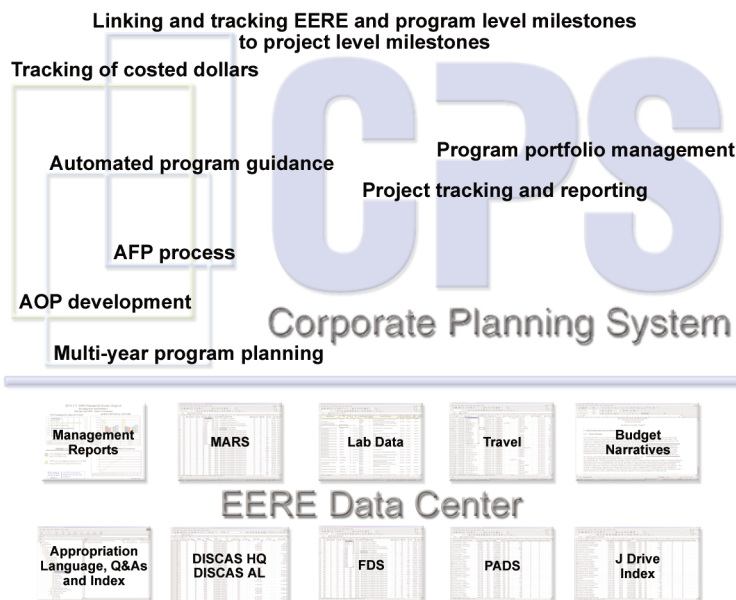
PROGRAM IMPLEMENTATION	FINAL FINANCIAL ASSISTANCE AND DIRECT PROCUREMENT PLAN

SMS Information And Instruction Sheet

SMS Requirement

PRELIMINARY ANNUAL OPERATING PLAN

By June 12, 2004, the Program Offices prepare a preliminary Annual Operating Plan (AOP) for all programs, projects, and activities included in the Congressional Budget Request. The AOP includes planned funding for each DOE and Field organization at the transactional level (e.g., B&R codes, contracts, financial assistance, Laboratory Field Work Proposals). The AOP also shows the fiscal year just completed (FY 2003) and the fiscal year currently being implemented (FY 2004).

EERE Program Offices

PROGRAM MANAGEMENT ACTIONS:

The program management team, by June 15, 2004, must identify all planned program funding for projects and activities included in the Congressional Budget Request including the planned funding for each DOE Regional Office and Field organization at the transactional level (e.g., contracts, financial assistance, Laboratory Field Work Proposals).

Linking and tracking EERE and program level milestones to project level milestones

Tracking of costed dollars

Automated program guidance

Program portfolio management

Project tracking and reporting

AFP process

AOP development

Multi-year program planning

CPS

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EERE Data Center

| Appropriation Language, Q&As and Index | DISCAS HQ DISCAS AL | FDS | PADS | J Drive Index |

References: Data Center Tutorial, Appendix E

CPS/DATA CENTER INSTRUCTIONS:

USES: All planned program funding and the projects it will be used for should be reflected in the CPS data.

| PROGRAM IMPLEMENTATION | PRELIMINARY ANNUAL OPERATING PLAN |

SMS Information And Instruction Sheet

SMS REQUIREMENT
FINAL LABORATORY DIRECT PROCUREMENT PLAN (WORK AUTHORIZATIONS)
For Work Authorizations through the national laboratories, the FY 2005 Final Laboratory Procurement Plans must be completed by August 1, 2004 so they can be approved by EE-1. This Procurement Plan will be based on spend-plan data from the SMS Data Center. Once this Procurement Plan is approved, it will only require adjustment by the Program Offices in coordination with BA for final procurement through the Approved Funding Programs, following the President's signing of appropriations bills in the Fall of each year.
EE-1, National Labs

PROGRAM MANAGEMENT ACTIONS:

The program management team must compete all work authorizations by July 2004.

Linking and tracking EERE and program level milestones to project level milestones

Tracking of costed dollars

Automated program guidance

Program portfolio management

Project tracking and reporting

AFP process

AOP development

Multi-year program planning

Corporate Planning System

Management Reports — MARS — Lab Data — Travel — Budget Narratives

EERE Data Center

Appropriation Language, Q&As and Index — DISCAS HQ DISCAS AL — FDS — PADS — J Drive Index

CPS/DATA CENTER INSTRUCTIONS:

USES: Use CPS to generate work authorizations and to transmit and store all WAs that have been prepared.

The AOP is a snapshot of the projects and spending plan and therefore can be used to identify the work requiring WAs and the funding and timing of allotments.

References: A detailed process for you to use is the DOE Work Authorization Process, located on page 6-5.

PROGRAM IMPLEMENTATION	FINAL LABORATORY DIRECT PROCUREMENT PLAN (WORK AUTHORIZATIONS)

SMS Information And Instruction Sheet
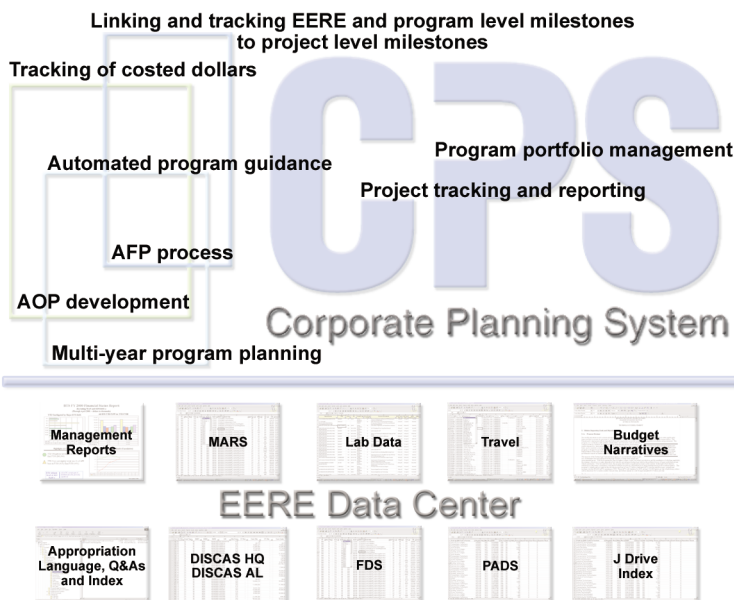
SMS REQUIREMENT
INITIAL APPROVED FUNDING PROGRAM
The Approved Funding Program (AFP) is the DOE mechanism to transfer funds to the DOE Regional Offices and Field organizations for implementing programs. The FY 2005 Initial AFP will be issued by the CFO in mid-September 2004, and is effective October 1, 2004, the first day of FY 2005. Providing funds in the Initial AFP ensures the continuity of programs and enhances the ability to make awards sooner. These early actions increase EERE's ability to get funds obligated and costed, which helps to reduce carry-over balances at the end of the fiscal year. By August 12, 2004, the Program Offices prepare statistical summaries of the funding distributions to all cognizant DOE Regional Offices and Field organizations for implementing the FY 2005 EERE programs based on the best available information. In the absence of final enacted appropriations or even a Conference mark, the more constraining of the House or Senate Appropriations marks is used.
EERE Program Offices

PROGRAM MANAGEMENT ACTIONS:

The program management team should ensure that applicable funding and phasing in the AFP accurately represents the program's planned and initiated procurement, financial assistance, and field work assignment actions.

Linking and tracking EERE and program level milestones to project level milestones

Tracking of costed dollars

Automated program guidance

Program portfolio management

Project tracking and reporting

AFP process

AOP development

CPS

Corporate Planning System

Multi-year program planning

Management Reports	MARS	Lab Data	Travel	Budget Narratives

EERE Data Center

Appropriation Language, Q&As and Index	DISCAS HQ DISCAS AL	FDS	PADS	J Drive Index

CPS/DATA CENTER INSTRUCTIONS:

USES: Track the PRs and WAs in the CPS to ensure they have been included in the AFP.
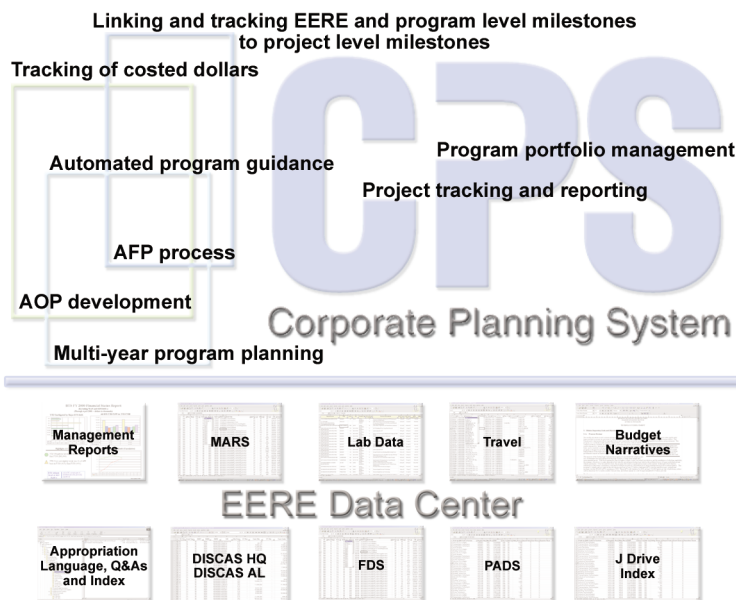
References:

PROGRAM IMPLEMENTATION	INITIAL APPROVED FUNDING PROGRAM

SMS Information And Instruction Sheet

SMS REQUIREMENT

INPUT TO SECRETARY'S AGREEMENT WITH THE PRESIDENT

Each year, the Secretary of Energy signs a Performance Agreement with the President that establishes the core set of the Department's commitments to be measured and tracked for the current fiscal year appropriations. EERE program commitments and measures are included in this Agreement as part of the Energy Resources Mission Area. The Agreement is consistent with the Department's Strategic Plan and the Annual Performance Plan as revised to reflect final Congressional appropriations and updated 1-year and multi-year program milestones. EERE will provide its input for the FY 2005 Agreement to the CFO by November 1, 2004.

EERE, Program Offices

PROGRAM MANAGEMENT ACTIONS:

The program management team should ensure that the program's projects and milestones show intended outcomes or results and associated measures and standards. If done properly, the program's projects and milestones can be readily rolled up into the EERE input to the DOE Annual Performance Plan, which will be adjusted and included in the Secretary's Agreement with the President.

Linking and tracking EERE and program level milestones to project level milestones

Tracking of costed dollars

Automated program guidance

Program portfolio management

Project tracking and reporting

AFP process

AOP development

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Corporate Planning System

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References:

CPS/DATA CENTER INSTRUCTIONS:

INPUT REQUIREMENTS: Ensure titles and descriptions for work activities in project and milestones CPS data describe the expected outcomes or results.
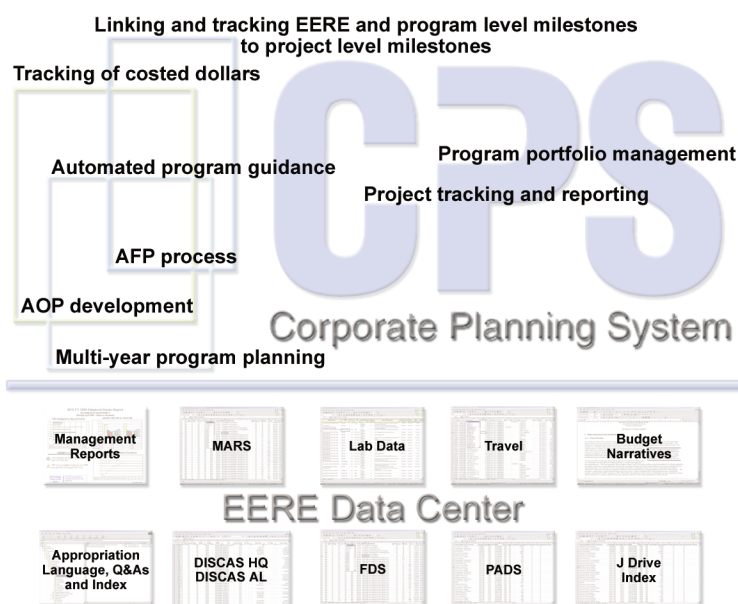
PROGRAM IMPLEMENTATION	INPUT TO SECRETARY'S AGREEMENT WITH THE PRESIDENT

SMS Information And Instruction Sheet

SMS REQUIREMENT
FINAL ANNUAL OPERATING PLAN
Within 15 days of enactment of final appropriations and receipt of Congressional Conference guidance, the Program Offices prepare the final AOP for all approved programs, projects, and activities. The AOP is based on the programs justified in the Congressional Budget Request as modified by appropriations laws and appropriations reports. The AOP includes planned funding for each DOE Field organization at the transactional level (e.g., contracts, financial assistance, Laboratory Field Work Proposals) and includes baseline data from the fiscal year just completed (FY 2003) and the fiscal year currently being implemented (FY 2004).
EERE, Program Offices

PROGRAM MANAGEMENT ACTIONS:

The program management team should ensure the final Annual Operating Plan contains all of the programs requirements consistent with the Congressional Budget as modified.

Linking and tracking EERE and program level milestones to project level milestones

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CPS/DATA CENTER INSTRUCTIONS:

USES: Check to see that projects, milestones, awardees, and dollars associated with the program's annual operating plan are contained in the Program's data in CPS.

References: A detailed description of a "best practice" process for developing an annual operating plan is in appendix A2 of this guide

PROGRAM IMPLEMENTATION	FINAL ANNUAL OPERATING PLAN

SMS Information And Instruction Sheet
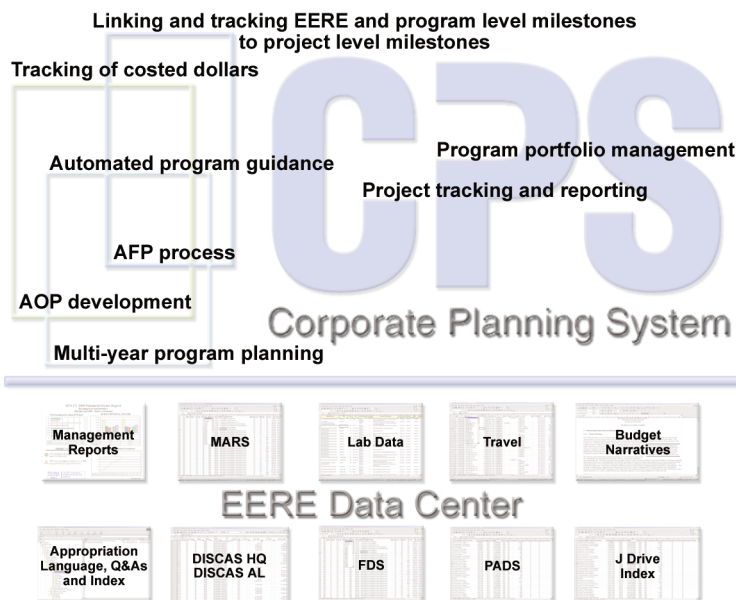
SMS Requirement

Program Guidance Letters and Procurement Requests for the Initial AFP Sent to the Field

Funds included in the Initial AFP must be authorized for the specific programs, projects, and activities for which the funds were appropriated, before the funds can be awarded or obligated. The guidance for the use of the funds is included in program guidance letters and procurement requests, which are prepared by EERE managers at Headquarters and transmitted to the Regional Offices and DOE Field organizations. By September 6, 2004, the Program Offices provide the program guidance letters and procurement requests to BA for funds certification. Subsequently, the program guidance letters are transmitted to the Regional Offices and DOE Field organizations by September 16. A process similar to this is completed each month for the subsequent AFPs. All program guidance letters for FY 2005 should be issued by January 31, 2005. As part of the certification, BA will ensure that all program guidance letters comply with procurement and budget requirements.

EERE Program Offices

Program Management Actions:

The program management team should complete and forward all program guidance letters and Procurement Requests by September 15, 2004 and each month thereafter to authorize the planned work for which the Approved Funding Program has been pro-grammed to provide the appropriate funding streams.

CPS/Data Center Instructions:

USES: Use CPS to create, transmit and store program guidance letters.
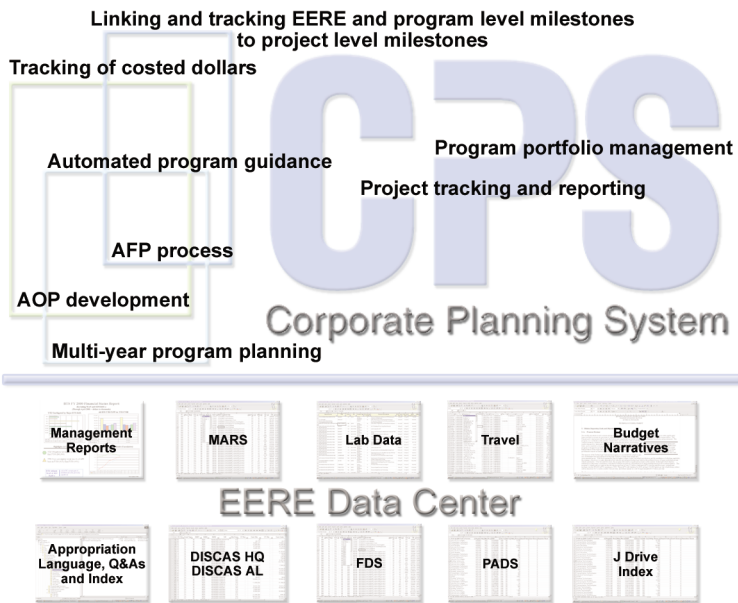

References:

Program Implementation	Program Guidance Letters and Procurement Requests for the Initial AFP Sent to the Field

SMS Information And Instruction Sheet

SMS REQUIREMENT
INITIAL **AFP** AND ALLOTMENTS TO THE **DOE** FIELD ORGANIZATIONS
The Initial AFP which will be effective on the first day of the fiscal year are issued to the Regional Offices and DOE Field organizations on September 16, 2004, and the allotments, which provide the statutory funding controls effective the first day of the fiscal year, are issued on October 1, 2004. The CFO is responsible for coordinating this effort in the Department.
CFO

PROGRAM MANAGEMENT ACTIONS:

The program management team should monitor the AFP and ensure that the appropriate allotments have been issued.

Linking and tracking EERE and program level milestones to project level milestones

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CPS/DATA CENTER INSTRUCTIONS:

Paperless AFP in CPS is currently under development.

References:

PROGRAM IMPLEMENTATION	INITIAL **AOP** AND ALLOTMENTS TO THE **DOE** FIELD ORGANIZATIONS

SMS Information And Instruction Sheet

SMS Requirement
PROGRAM GUIDANCE LETTERS AND/OR PROCUREMENT REQUESTS FOR MONTHLY AFPS
Beginning in October 2004, and subsequently by the 10th of each month, the Program Offices provide program guidance letters and procurement requests to BA for funds certification and funding transfers to be included in the next monthly AFP. If the 10th falls on a weekend or holiday, the due date is the next work day. Subsequently, the program guidance letters are transmitted to the Regional Offices and DOE Field organizations prior to the issuance of the monthly AFP.
EERE Program Offices

PROGRAM MANAGEMENT ACTIONS:

The program management team should ensure that remaining work for the fiscal year not included in the initial AFP and allotments is assigned and funded on a monthly basis in accordance with the spend plan. This requires the preparation and submission of WAs and PRs reflected in the Acquisition Plan.

Linking and tracking EERE and program level milestones to project level milestones

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CPS

Corporate Planning System

Management Reports	MARS	Lab Data	Travel	Budget Narratives
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EERE Data Center

CPS/DATA CENTER INSTRUCTIONS:

Refer to the spend plan data in CPS for timing of work assignments and procurements.

References:

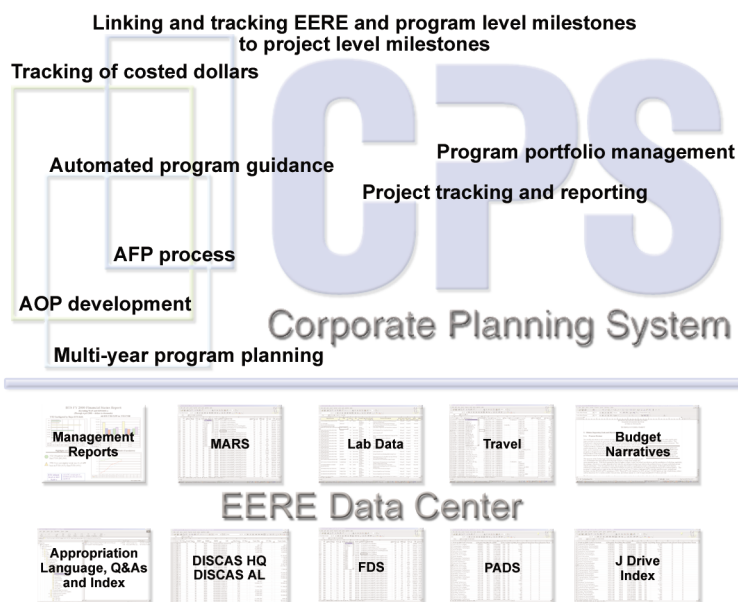| PROGRAM IMPLEMENTATION	PROGRAM GUIDANCE LETTERS AND/OR PROCUREMENT REQUESTS FOR MONTHLY AFPS

SMS Information And Instruction Sheet

SMS REQUIREMENT
CONTRACTS, PROCUREMENTS AND GRANTS AWARDED
Beginning October 1, 2004, FY 2004 EERE contracts, grants, cooperative agreements, Laboratory Field Work Proposals, and other procurement instruments will be awarded by the cognizant Headquarters and Field organizations to permit the continued implementation of EERE mission objectives. The Office of Procurement and Assistance Management is responsible for making all awards at Headquarters. The cognizant Regional Offices, Operations Offices, and Golden Field Office are the principal organizations which perform this role in the field.
EERE, Field Organizations

PROGRAM MANAGEMENT ACTIONS:

The program management team must ensure that the applicable program guidance letters and procurement requests have been prepared with the appropriate lead times, and monitor to ensure that awards are made as planned beginning on October 1, 2004.

CPS/DATA CENTER INSTRUCTIONS:

USES: Awards are entered by cognizant procurement officials into PADS. This information is downloaded and stored in the PADS folder in the Data Center.

Linking and tracking EERE and program level milestones to project level milestones

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Automated program guidance

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AFP process

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Multi-year program planning

CPS — Corporate Planning System

EERE Data Center

Management Reports / MARS / Lab Data / Travel / Budget Narratives

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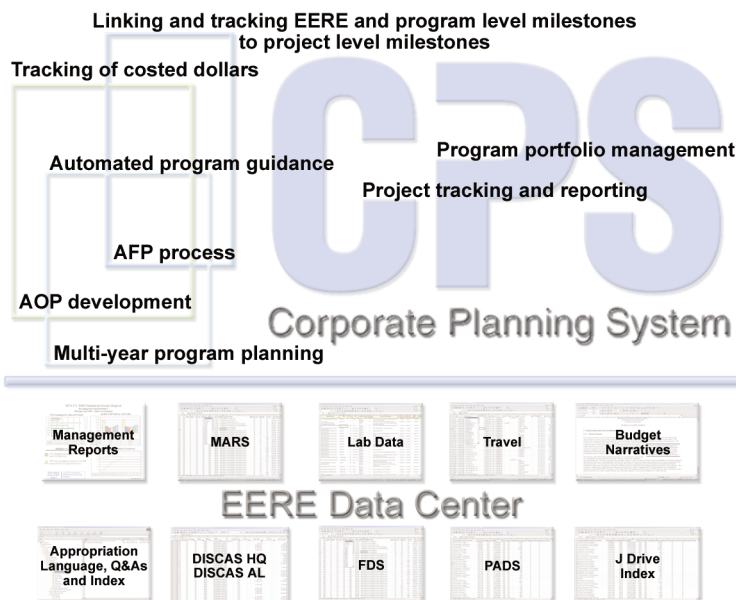
References: Data Center Tutorial, Appendix E

PROGRAM IMPLEMENTATION	CONTRACTS, PROCUREMENTS AND GRANTS AWARDED

SMS Information And Instruction Sheet

SMS REQUIREMENT
PROGRAM WORK PERFORMED
Between October 1, 2004, and September 30, 2003, EERE's FY 2005 program work will be performed by a wide range of organizations such as DOE laboratories; industry; colleges and universities; Federal, State, and local governments; non-profit entities; and consortia. The work is managed by EERE program managers and Regional Office Staff to ensure compliance with statements of work for achieving the mission objectives of the program.
EERE, Field Organizations, Contractors

PROGRAM MANAGEMENT ACTIONS:

The program management team needs to continuously monitor work performance through Data Center information, direct contact with awardees, feedback from operations offices and review of required financial and work progress reports as appropriate. Variances In cost accrual or work progress should be identified promptly and corrective action taken.

CPS/DATA CENTER INSTRUCTIONS:

Planned actions and progress toward milestones should be tracked using the CPS and Data Center information.

References: Refer to Program Progress Reviews, Appendix D1, and Management Reviews in the applicable Analysis and Evaluation Information and Instruction Sheet

PROGRAM IMPLEMENTATION	PROGRAM WORK PERFORMED